

Date: February 10, 1999

Case Docket No. HS 105

Express Mail No. EM 500 210 135 US

ASSISTANT COMMISSIONER FOR PATENTS
Washington, D.C. 20231

02/10/99



Sir:

Transmitted herewith for filing is the patent application of

Inventor: Michael Caplan

For: METHOD FOR ALTERING UNDESIRABLE IMMUNE RESPONSES TO POLYPEPTIDES

Enclosed are:

- ☒ 1 Page of Abstract, 40 Pages of Specification, and 10 Pages of Claims.
- ☐ An Assignment of the invention to _____
- ☐ A certified copy of a _____ application.
- ☒ An executed Declaration for Utility or Design Patent Application (37 CFR 1.63).
- ☒ An executed Statement Claiming Small Entity Status (37 CFR 1.9(f) & 1.27(b)) - Independent Inventor.
- ☒ Request for Filing an Application under 37 CFR \$1.53(b).

The filing fee has been calculated as shown below:

	(Col. 1)	(Col. 2)
FOR:	NO. FILED	NO. EXTRA
BASIC FEE		
TOTAL CLAIMS	88-20 =	68
INDEP CLAIMS	4-3 =	1
MULTIPLE DEPENDENT CLAIM PRESENTED		

SMALL ENTITY	
RATE	FEE
	\$380
x 9 =	\$612
x 39 =	\$ 39
x130 =	\$ 0
TOTAL	\$1031

OTHER THAN A SMALL ENTITY	
RATE	FEE
	\$760
x 18 =	\$
x 78 =	\$
x260 =	\$
TOTAL	\$

* If the difference in Col. 1 is less than zero, enter "0" in Col. 2.

- ☐ Please charge my Deposit Account No. 01-2507 in the amount of \$. A duplicate copy of this sheet is enclosed.
- ☒ A check in the amount of \$1,031.00 is enclosed.
- ☒ The Commissioner is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. 01-2507. A duplicate copy of this sheet is enclosed.
- ☒ Any additional filing fees required under 37 CFR 1.16.
- ☒ Any patent application processing fees under 37 CFR 1.17.
- ☒ The Commissioner is hereby authorized to charge payment of the following fees during the pendency of this application or credit any overpayment to Deposit Account No. 01-2507. A duplicate copy of this sheet is enclosed.
- ☒ Any patent processing fees under 37 CFR 1.17.
- ☐ The issue fee set in 37 CFR 1.18 at or before mailing of the Notice of Allowance, pursuant to 37 CFR 1.311(b).
- ☒ Any filing fees under 37 CFR 1.16 for the presentation of extra claims.

Respectfully submitted,

Robert A. Hodges, Reg. No. 41,074

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Michael Caplan

Serial No.: Express Mail Label No.
EM 500 210 135 US

Filed: February 10, 1999 Date of Deposit: February 10, 1999

For: *METHOD FOR ALTERING UNDESIRABLE IMMUNE RESPONSES
TO POLYPEPTIDES*

Box Patent Application
Assistant Commissioner for Patents
Washington, D.C. 20231

**REQUEST FOR FILING AN APPLICATION
UNDER 37 C.F.R. § 1.53(b)**

Sir:

Pursuant to 35 U.S.C. § 21(a), as amended by Public Law 97-247, and 37 C.F.R. §§ 1.10 and 1.53(b), Michael Caplan encloses for filing the attached new patent application entitled "Method for Altering Undesirable Immune Response to Polypeptides." The application includes 1 page of Abstract, 40 pages of Specification, 10 pages of claims, and an executed Declaration for Utility or Design Patent Application (37 CFR 1.63).

Submitted with the new application are (1) a check in the amount of \$1,031.00 to cover the filing fee, including excess claim fees, (2) a Fee Transmittal, (3) an executed Declaration for Utility or Design Patent Application (37 CFR 1.63), and (4) an executed Statement Claiming Small Entity Status (37 CFR 1.9(f) & 1.27(b)) – Independent Inventor.

660722-904260

**"METHOD FOR ALTERING UNDESIRABLE IMMUNE
RESPONSES TO POLYPEPTIDES"**

By: Michael Caplan

Express Mail Label No.: EM 500 210 135 US

Date of Deposit: February 10, 1999

REQUEST FOR FILING AN APPLICATION

UNDER 37 C.F.R. § 1.53(b)

It is believed that \$1,031.00 is the proper filing fee since the application includes 4 independent claims and a total of 88 claims. The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 01-2507. To facilitate this process, applicant has enclosed a duplicate of this letter.

All correspondence concerning this application should be mailed to:

Patrea L. Pabst, Esq.
ARNALL GOLDEN & GREGORY, LLP
2800 One Atlantic Center
1201 West Peachtree Street
Atlanta, GA 30309-3450

This application is being filed on February 10, 1999, by mailing the application to the Assistant Commissioner of Patents, Washington, D.C. 20231 via the United States Postal Service "Express Mail Post Office to Addressee" Service under 37 C.F.R. § 1.10. The Express Mail

60723 "S074260

**"METHOD FOR ALTERING UNDESIRABLE IMMUNE
RESPONSES TO POLYPEPTIDES"**

By: Michael Caplan

Express Mail Label No.: EM 500 210 135 US

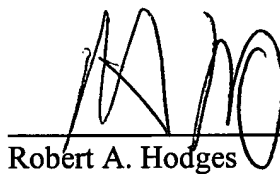
Date of Deposit: February 10, 1999

REQUEST FOR FILING AN APPLICATION

UNDER 37 C.F.R. § 1.53(b)

Label No. appears in the heading of this paper which is attached to the application papers
pursuant to 37 C.F.R. § 1.10(B).

Respectfully submitted,



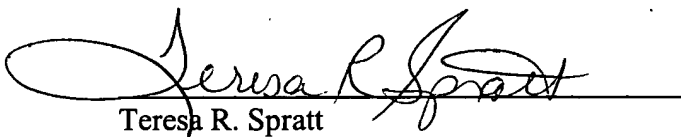
Robert A. Hodges
Reg. No. 41,074

Date: February 10, 1999

ARNALL GOLDEN & GREGORY, LLP
2800 One Atlantic Center
1201 West Peachtree Street
Atlanta, Georgia 30309-3450
(404) 873-8796
(404) 873-8797(fax)

Certificate of Mailing Under 37 C.F.R. § 1.10

I hereby certify that this paper and any documents referred to as attached or enclosed are
being deposited with the United States Postal Service on this date, February 10, 1999, in an
envelope as "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10, Mailing
Label Number EM 500 210 135 US addressed to Box Patent Application, Assistant
Commissioner for Patents, Washington, D.C. 20231.



Teresa R. Spratt

Date: February 10, 1999

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**STATEMENT CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) & 1.27(b))--INDEPENDENT INVENTOR**

Docket Number (Optional)

HS 105

Express Mail Label No.: EM 500210135US

Applicant, Patentee, or Identifier: Michael Caplan

Application or Patent No.: _____

Filed or Issued: February 10, 1999

Title: METHOD FOR ALTERING UNDESIRABLE IMMUNE
RESPONSES TO POLYPEPTIDES

As a below named inventor, I hereby state that I qualify as an independent inventor as defined in 37 CFR 1.9(c) for purposes of paying reduced fees to the Patent and Trademark Office described in:

- ☒ the specification filed herewith with title as listed above.
☐ the application identified above.
☐ the patent identified above.

I have not assigned, granted, conveyed, or licensed, and am under no obligation under contract or law to assign, grant, convey, or license, any rights in the invention to any person who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern, or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

- ☒ No such person, concern, or organization exists.
☐ Each such person, concern, or organization is listed below.

Separate statements are required from each named person, concern, or organization having rights to the invention stating their status as small entities. (37 CFR 1.27)

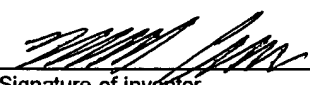
I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

Michael Caplan

NAME OF INVENTOR

NAME OF INVENTOR

NAME OF INVENTOR


Signature of inventor

Signature of inventor

Signature of inventor

2/9/99
Date

Date

Date